Introduction

"The University of Minnesota, founded in the belief that all people are enriched by understanding, is dedicated to the advancement of learning and the search for truth; to the sharing of this knowledge through education for a diverse community; and to the application of this knowledge to benefit the people of the state, the nation, and the world."

The University’s mission is carried out through fundamental activities of research, teaching & learning, and service. The University Libraries both support these activities through the collections and services offered and provide leadership for the community in the advancement and understanding of issues associated with information and scholarly communication. The University Libraries serve as a critical common good supporting myriad academic programs and services of the institution and also as a critical collaborator in the exploration and development of new knowledge resources and services.

The University Libraries strive to deliver information and information services to individuals where and when they need it, in a format or venue that matches their needs. With over 6 million volumes within its 14 facilities, and a rapidly growing virtual collection of electronic resources accessible anytime/anyplace, the Libraries serve a significant role in building and sustaining the information resources necessary for classroom and laboratory, for outreach and community engagement.

The Libraries, in partnership with campus information technology units and organizations, work to develop campus-wide information policy and infrastructure to insure effective, equitable, and integrated access to information resources on and off campus, to colleague libraries throughout the state, and more broadly within the community. The impact of the Libraries’ roles and resources is demonstrated broadly in the thousands of interactions between individuals and library staff, in the essential content provided for inquiry, and in the strategic role the Libraries play in helping shape the environment for scholarly communication in the future.

University Libraries Vision, Mission, and Goals Statement

Vision
The University Libraries is a “center” of choice for the University of Minnesota-Twin Cities for immediate access to information and knowledge resources. The Libraries’ knowledgeable, innovative, and service-oriented staff:

- Integrates information resources and skills into the broader teaching, research, and service mission of the University;
- Collaborates in creating new models of and services in support of research and instruction;
- Develops unique digital resources and services;
- Provides leadership in educating and supporting campus authors and information providers in creating, making accessible, and preserving new works of knowledge;
- Collaborates in creating an economically sustainable model of scholarly communication;
- Preserves the scholarly record for future students and faculty, citizens of the state, and the broader scholarly community.

Mission
The mission of the Libraries is to enhance access to and maintain the record of human thought, knowledge, and culture for current and future users. The University Libraries support the University’s three-fold mission of research and discovery, teaching and learning, and outreach and public service through the development of collections, delivery of services, and creative applications of information technologies.

02-03 Goals
Eight goals guide the University Libraries' Compact for 2002-2003. The Libraries will:

1. Develop collections in all formats to support University programs and initiatives and develop a focused management plan to reflect changing formats, costs, and institutional needs.
2. Take a leadership role in national and state digital library initiatives and work with campus information providers to facilitate new models of scholarly communication and dissemination.
3. Cooperate and partner with statewide, regional, and national initiatives to promote resource sharing and leverage University licenses for state and regional benefit.

4. Initiate a new, coordinated program to design and develop the virtual information environment (i.e., the Libraries’ managed network environment of content, services, and tools) in order to meet the needs of both general and specialized user communities.

5. Expand services that enhance the undergraduate experience and programs that teach and promote essential information skills required for success in the electronic environment.

6. Realign organizational structures for services and collection development to allow more targeted and customized support for disciplines and interdisciplinary communities of interest.

7. Redesign internal budget processes to provide better management data and control mechanisms.

8. Improve infrastructure in information technology and staff development to meet the changing needs of an increasingly technology-dependent organization.

University Libraries Organization

The University of Minnesota Libraries is organized around ten budgeted areas (see table below).

- Collection Development & Management
- Material Acquisitions and Control
- Reference & Consultation Services
- Information Access & Delivery Services
- Bio-Medical Library
- Facilities & Operations Management
- Information Technology Services
- Staff Development & Training
- Administrative Services
- MINITEX

Note: MINITEX is housed in Andersen Library, but managed by the Libraries under an agreement with the Minnesota Higher Education Services Office, which has fiscal responsibility for the program.

The compact between the Executive Vice President and Provost and the University Librarian for 2002-03 includes the following:

Update – Major Long-Term Goals/Priorities from Previous Compacts

A. MnLINK

In 1996, the Legislature appropriated $12 million to create a statewide online library system called MnLINK to replace all of the University's integrated library systems (including the Twin Cities NOTIS product) and those on the coordinate campuses. This same system would also replace the MnSCU/PALS integrated library systems. MnLINK, under the aegis of the Minnesota Higher Education Services Office, will tie together academic, public, and K-12 library systems across the state. It serves to upgrade the information infrastructure to meet the University's information needs of the 21st century and is an essential element in the Libraries' plan to become a center for digital and print information and share digital resources statewide and beyond.

During fiscal year 2001-02, our effort was to install the Aleph500 software at the University, replacing our NOTIS system. The Libraries switched to production of Aleph during summer 2002, on-time and within-budget. This implementation put in place a number of improved options for users (e.g., improved search and self-service options) and additional features will be implemented during the course of fiscal year 2002-03.

Our focus during fiscal year 2002-03 will be on getting MNCAT, our Twin Cities catalog, stable in the Aleph environment, training and helping our staff adjust to the new system, and preparing to migrate the coordinate campus libraries to the new system. We expect significant additional expenses (beyond those covered in the reduced legislative appropriation) to continue for implementation, training, report development, and migration of records to the new system. Funds have been received ($106,000 recurring) to cover additional staff costs and the cost of supporting the statewide MnLINK project.

Outcomes & Deliverables:
• University Libraries will be part of a statewide library system, which provides user access throughout Minnesota to library catalog information and selected databases.
• All University of Minnesota campuses will share the same integrated library system, creating potential for greater coordination and sharing of expertise.
• The new system will provide greater functionality and customizability.
• Citizens of Minnesota will have greatly improved access to the University Libraries’ collection.
• As we transition to a new system, we anticipate a need for increased user support to respond to questions, provide training, and deal with inevitable data conversion questions.
• The University Libraries will continue to update the administration on a semi-annual basis regarding the progress of this project.

B. Re-Occupation of the Renovated Walter Library

The Walter Library renovation was completed in early 2002, though a few issues remain primarily in areas related to security. Our goal this year will be to make Walter an example of what all our libraries can be, given state-of-the-art technology. Among other things, this includes a “roaming reference” experiment about which more is written in the Digital Libraries section of this compact. We also will pursue programmatic plans for working with the Digital Technology Center, which shares the Walter facility with us.

C. Digital Library

Our Digital Library consists of many interrelated and overlapping elements. We begin by describing specific initiatives, priorities, and problems, yet the greater challenge is building a holistic environment that coherently bridges formats, vocabularies, and disciplines across the campus. Increasingly, too, the early focus on creation of digital content is evolving to include online services and tools that support and enhance the content. Our vision of how the Libraries can move forward is presented in the subsequent section: New Long-Term Goals/Priorities.

• The University Libraries will continue digitizing specific archival and other special collections, facilitate broader access to digital data and publications already in the Libraries, and acquire (via purchase and licenses) access to collections in digital format. In-house digitizing initiatives primarily focus on materials more than seventy-five years old in order to comply with copyright law. We will focus particularly on two significant grant awards: the $275,000 World War I & II Posters grant from the IMLS and the $16,000 RLG Cultural Materials Initiative grant to scan 4,100 historic images of hot air ballooning research at the University. Our other ongoing and systematic digitization projects will increase the Libraries’ homegrown digital collections by at least 5,000 objects annually.

• The Libraries will continue support and enhancement of projects to create new models of scholarly communication, building on existing projects and campus partnerships.

• Our digital reproduction services continue to attract a greater number of customers every year. This year we will focus on documenting capacity and costs and mechanisms to determine priorities.

• The Libraries is taking the lead in a campus-wide initiative to develop standards for managing and sharing digital images, and is devoting considerable effort to consolidating many legacy systems used to store and deliver locally produced digital content.

• We will increase our “Ask Us” digital reference chat service to 30 hours per week, providing a way for students and faculty to get professional guidance via the web. We plan to actively pursue opportunities for regional and national digital reference service collaboration.

• The Libraries, the Center for Teaching and Learning, and the Writing Center are partnering to create a faculty version of the Assignment Calculator, which will allow faculty to easily build sequenced assignments and resources for research papers.

• We are rebuilding our InfoLiteracy Toolkit (Research QuickStart, Quick Study, and CourseLib) to unify the underlying database and migrate to a platform which can support the campus portal and course authoring tools such as Web CT.
We will begin a two-year experiment that will equip our reference librarians in the new Walter Library with roaming wireless laptop equipment. Our goal is to facilitate a more agile use of the Digital Library by our staff when working with faculty and students.

Outcomes and deliverables:

- Digitize unique and rare materials that the Libraries own, with particular attention to projects sponsored by our IMLS and RLG grants.
- Conduct an experiment in “roaming reference” to try bringing the Digital Library more fully into the service of those working with staff in our physical libraries.
- Improve the function of our InfoLiteracy Toolkit by developing its second-generation implementation.
- Increase the availability of our “Ask Us” online reference service.
- Develop a faculty version of the “Assignment Calculator.”
- Develop campus-wide standards for image data management and systems for enhanced discovery of distributed content.

D. Strategies for Collections Acquisition, Management, and Service Delivery

The Libraries will continue to serve as the major research library for all Minnesotans and to strengthen its leadership role in providing and sharing information in all formats, including electronic format where licenses permit. Significant effort this year will be devoted to the development of a more strategic collection management plan to deal with the combined impacts of inflation, duplicate formats, the increasing costs of electronic content licenses, and issues associated with preservation and archiving digital information. Years of high inflation and modest growth in funding have resulted in significant cancellations of journals (over 5000 in the last few years) and continued reduction in purchasing power is expected.

The Libraries will work with and through the MINITEX Library Information Network to share library resources and services. MINITEX funding streams are threatened by reductions in state support for Children Families and Learning, potential reductions in the HESO budget, and a new interpretation of federal regulations constraining the use of federal funds for ongoing programs.

The Libraries will continue to sponsor statewide staff development and training programs with a view to stimulating greater interlibrary coordination. The Libraries will cooperate and partner with statewide, regional, and national initiatives to promote resource sharing and provide the most efficient services possible. This includes active participation in CIC initiatives for cooperative licensing of electronic content, improved resource sharing systems, and preservation.

The Libraries will continue to develop the technology and organizational infrastructure to support new distributed learning environments including individualized reference services and direct (i.e., to the desktop) document delivery in both paper and digital formats.

Outcomes & Deliverables:

- Leverage the acquisitions budget through reduction in the prices paid for some electronic publications subscriptions through CIC and MINITEX consortial purchases.
- Increase sharing of resources across the CIC and the state of Minnesota, including a continuing increase in inter-library borrowing as the Libraries cancel more serials.
- Document analysis and plans for managing the collection budget in a time of continued escalating costs and constrained resources.
- Continue to develop the technological and organizational infrastructure to support new distributed learning environments, including individualized reference services and direct document delivery in both paper and digital formats.
- Expand services to deliver books and articles directly to the requester's home or work via mail, fax or Internet with a maximum delivery time goal of 48 hours. A minimal fee will be applied to each transaction.
- Expand existing project to provide electronic reserves for course-related materials (course notes, presentation materials, and published articles and chapters) and work with campus programs in support of online learning environments (e.g., TEL).
- Expand electronic desktop delivery of materials to users of various library document delivery services.
- Offer two courses in the Freshman Seminar Program: "Skeptics of Science: Investigating the anti-science voices in the 20th and 21st centuries" and "From Cuneiforms to Computers: History of the Book."

E. Strategies to Deliver Content and Library Services
The Initiatives found under this heading in previous compacts have been moved to sections C. Digital Library and D. Strategies for Collections Acquisition, Management, and Service Delivery.

F. Diversity of the Unit

The number of University Libraries employees who are members of racial and ethnic minorities has increased slightly this year to 12% (from 11% last year) across all employment categories. Our challenge continues to be the successful recruitment and retention of a larger number of individuals to build a significantly more diverse staff. Over the next five to ten years the Libraries will experience a number of retirements and have an opportunity to focus recruitment efforts toward this challenge.

The Affirmative Action Residency Program begun in 1991 for academic staff, is designed to recruit librarians from traditionally underrepresented groups to work in academic research libraries. The current two residents will conclude their two-year appointments in the summer of 2003. Recruitment for the 2003/2005 residency program will begin in early 2003.

The third Minnesota Training Institute for twenty-four early career librarians from underrepresented groups was held this fall. The national reputation of this weeklong institute is growing rapidly for its success in supporting the career growth and leadership development of early career minority librarians. The first two institutes, held in 1998 and 2000, were funded by federal grants which would not continue to fund an ongoing program. Because it is the Libraries intent to continue to offer this excellent opportunity, we secured funding for the 2002 Institute from a private source—the H.W. Wilson Foundation.

The Libraries continues to set goals for diversity as a standard procedure for hiring in all classifications.

G. Service Assessment

The Libraries continue to participate in LibQual+, a large-scale user-based library service assessment tool developed by Texas A&M University in conjunction with the Association of Research Libraries, under a grant from the U.S. Department of Education’s Fund for the improvement of Postsecondary Education (FIPSE). The LibQual+ survey tool, based on the ServQual methodology, provides a measure of service quality and identifies gaps between desired, perceived, and minimum expectations of service by library users – faculty, graduate students, and undergraduate students. In the Spring of 2002 the libraries was among 164 participants in the third-year pilot study with 170 undergraduates, 291 graduate students, and 103 faculty survey respondents locally. Overall, the Libraries met expectations reasonably well, especially for courteous service and attention to user needs. There were a number of measures, however, where perceived performance barely met or fell short of expectations; almost all of these related to users’ desire to be self-reliant in using information resources (e.g., need for easy-to-use access tools, remote access from office and home, and convenient access to collections). Faculty and graduate students also have concerns about the comprehensiveness of collections. The Libraries will continue to participate in this collaborative assessment effort.

New Long-Term Goals/Priorities

A. Strategic Planning

With the leadership of a new University Librarian, a planning process was initiated to assess priorities for the near term and set directions for the future. This process has identified several priority themes, represented in overarching goals to develop a more community-focused agenda that reflects the differing needs of disciplines, interdisciplinary groups, and undergraduate communities. Collaboration with academic programs will feature prominently in our planning.

Specific goal areas identified in our planning include these areas of future emphasis:

- Scholarly communication issues: educating and supporting faculty authors in the digital environment and the changing nature of scholarly communication
- Development of a more strategic approach to scholarly communication through facilitation of new models of publishing on campus and beyond.
• Partnerships and collaboration with the Digital Technology Center and other relevant research units to identify common interests and develop a plan for joint research efforts.

• Focusing the next phase of our digital library program on integration of resources and enhancing the user’s virtual experience of the library.

• Improved undergraduate experience through Libraries-wide initiative to identify and address collection, services, and facility needs of this community of users.

• Development of campus resources for understanding fair use policy under copyright law.

B. Grant Proposals

In August of 2001, the MAGNOLIA group (an informal consortia of academic librarians) initiated a Minnesota Digital Library (MDL) program. The University Libraries have entered into the MDL partnership with a particular emphasis on standards, training, and gauging user needs. The MDL participants received a $50,000 grant secured from the State Library agency, to establish the necessary governance, technology and training infrastructure for the MDL. While these limited funds were exhausted in Fall 2002, the group continues to meet and plan for the development of this coordinated effort. The uncertain future of the state library agency following serious reduction of its staff through budget cuts places this grant at risk.

The Bio-Medical Library will be creating a post-graduate Librarian Track, as part of the recently renewed National Library of Medicine Informatics Training Program five-year renewal (a U of M/ Mayo Medical School Master’s and Doctoral program). Bio-Med librarians will be implementing the Librarian Track in partnership with Mayo Medical Library. Only 15 schools in the U.S. were funded for the Informatics Training Program, and Minnesota is one of only 6 who proposed a Librarian Track component. This will be a highly visible program nationally.

Enrollment Management

N/A

Compact Development

Versions of the compact draft have been shared with Libraries staff. The planning process that identified directions and near-term programs involved staff Libraries-wide through working groups and all-staff discussion sessions. Working drafts of reports were shared via the Libraries’ staff web site for comment.

Facilities Issues

The Libraries faces service and/or budget implications resulting from our primary planning issues. These are:

1. The storage caverns beneath Andersen Library continue to experience humidity, temperature, and waste water problems. A Boston consultant firm, Einhorn Yafee Prescott Architecture & Engineering PC, has been retained to recommend corrective measures. Action is underway to implement the recommendations with a target date of winter 2003. A well has been constructed to address the waste water problems. University administration is covering the cost of all construction and related costs. The risk posed to the materials housed in the cavern (valued at over $300,000,000) makes corrections imperative. The Libraries expects these problems to be corrected during fiscal year 2002-03.

2. Shotcrete in the portal entrance to the Minnesota Library Access Center storage caverns has started to fall from the ceiling. All pedestrian traffic is banned, and hard hats are required in this area. Discussions are underway with the contractor and a near-term remedy with netting is expected to be installed. Analysis of the cause is underway. This dangerous condition must be rectified early in fiscal year 2002-03. More recently, cracks in the custom concrete floor have begun to occur, posing risks for the heavy motorized equipment used to retrieve materials. FM has just begun to address this new problem.

3. Mold problems continue to plague Magrath Library. The Libraries are working with Environmental Health and Safety and Facilities Management in a constant effort to address these persistent problems. The problems place
staff at risk, but do not—at this time—present risks to the collections. The University is covering costs of addressing the problems. We believe that mold and water leaks in the Veterinary Medicine Library and the Forestry Library are now under control, but will need close monitoring during the year.

4. Capital funds will be needed for the complete renovation of Diehl Hall, home of the Bio-Medical Library (now on the capital planning list to seek planning funds in 2004). The very deteriorated physical plant and lack of facilities for problem-based learning has become a significant accreditation issue. The reduction in Walter study space and the increase in biology students and other undergraduates exacerbates the critical deficit in both quantity and quality of space. During fiscal year 2002-03, the fifth floor of Diehl hall will be remodeled to provide additional stack space for the Wangensteen Library and for a learning center for the Academic Health Center. While not optimum from the Libraries’ perspective, the project provides some short-term improvements. The complete renovation of Diehl Hall is being addressed within the AHC’s multi-year renovation and building project. The Libraries remain concerned that the sequence of proposed stages delays attention to the critical needs in the Bio-Medical Library and will continue to work with AHC on this issue. It is extremely critical that the range of necessary library renovations and enhancements be fully addressed in the planning process.

5. The decision to locate the new Digital Technology Center in Walter Library has led to a far greater occupancy of the Minnesota Library Access Center/Archives underground storage caverns than was planned originally. The Archives and Special Collections cavern is near capacity now, and the University of Minnesota/TC Libraries has nearly reached the 60% of the overflow cavern assigned for our use. The remaining 40% is reserved for use by the rest of the state. Current projects suggest the caverns will be full by 2004-05. Because only two of the three caverns originally planned for construction under Andersen Library were built, the Libraries faces collection storage problems. Planning needs to begin now for additional collection storage space; the Libraries will initiate analysis of space needs in early 2003.

6. During December 2002 the Architecture Library will move into new quarters on the second floor of the new wing of Ralph Rapson Hall, the College of Architecture and Landscape Architecture’s building. The new library facility will provide expanded study space and connectivity for graduate students who will be required by the college to begin using laptop computers as part of the curriculum. Budget shortfall in the building budget has left the Architecture Library critically under-equipped. Some $150,000 in furniture and equipment needs has been documented and the Libraries have so far committed $30,000 toward this project shortfall.

Data Profile

For a display of planning data related to the University Libraries, refer to a link off the University web site managed by the Office of Institutional Research and Reporting at http://www.irr.umn.edu. This site contains standard financial, staffing and student information.


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Financial Issues

The Libraries face significant pressures in building library collections (in all formats) that meet the needs of users while simultaneously coping with decreasing purchasing power. The Libraries restructured its collection budget this summer to address a $300,000 structural deficit resulting from large electronic content purchases. Although $750,000 in new funds were allocated toward the collection in this biennium ($250,000 in 2001-02 and
$500,000 in 2002-03), journal cancellations continue in significant number and demands for new electronic content are increasing dramatically.

The Libraries face pressures in the funding of general operations. Many of the problems were identified in the 1998 report by the Task Force on the Future of the Libraries, which notes that the Libraries had been chronically underfunded and needed an increase to the base budget of between $5,000,000 and $7,000,000 to recover and reach parity with peer institutions.

- A structural deficit (over-base commitments), estimated at approximately $800,000, due in large part to Civil Service/Bargaining Unit increases in the steps, progression increases, reclassifications to recognize necessary increased skills and responsibilities, and broad-banding of the information technology class that have not been fully funded by the University. This is compounded by a depletion of budget reserves. The Libraries will budget this year’s projected lapse salaries as part of base budget commitments.

- Computer hardware replacement program for the more than 900 computers for public and staff use and servers to support content and services. This is an estimated $500,000-$600,000 recurring cost. An additional $150,000 was reallocated in 2002-03 toward the previous base budget of $100,000 for workstation replacement.

- Maintaining a new online library system with additional recurring costs. Support for the coordinate campus implementation in 2003 is stressing existing Twin Cities staff.

- Market-driven information technology salary increases; the Libraries is increasingly reliant on this category to deliver essential services.

- Increasingly competitive market for librarians, requiring increases in salary commitments. Librarian salaries are significantly below peers; an analysis of librarian salaries will be undertaken in 2003 to reveal more detailed data about this compensation problem.

### Historical Allocation Summary

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### Library Inflation

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### Central Allocation Summary – FY2002-03

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